

Rodney A. Russell

Order of Sanctions

Date of Order: December 5, 2006

Respondents: Rodney A. Russell

ALLEGATIONS: A Notice of Intent to Invoke Administrative Sanction under the Kansas Securities Act was filed on August 28, 2006. The Notice of Intent alleged that the Respondent transacted business in the State of Kansas as an agent at a time when he was not registered under the Kansas Securities Act, offered a security for sale in the State of Kansas at a time when the security was not registered, and failed to disclose the existence of prior orders issued by the states of Idaho and Missouri. The Respondent did not request a hearing, so the allegations contained in the Notice of Intent were found to be true and correct.

ORDER: The Respondent was ordered by the Commissioner to Cease and Desist from transacting business in the State of Kansas as a broker-dealer, offering or selling any unregistered security in the State of Kansas, and engaging in other acts or practices which constitute violation of the Kansas Uniform Securities Act. The Respondent was also fined in the amount of \$1,000 and was ordered to pay restitution in the amount of \$1,000.

Notice to Investors: If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.